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I hereby certify that the attached Supplemental Information Disclosure Statement Pursuant to 37 C.F.R. §1.97-198 and Form PTO-1449, pursuant to 37 C.F.R. §1.8, are being deposited as U.S. First Class Mail this date with the United States Postal Service in an envelope addressed to Mail Stop DD, Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

Date:

July 25, 2003

By:

Suzi J. Mascari

Signature of person depositing as First Class Mail

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**-- PATENT APPLICATION --**

Applicant(s): Suresh Golwalkar et al.

Attorney Docket No.: 45706.0400

Serial No.: 10/056,757

Group Art Unit: 2874

Filed: January 23, 2002

Examiner: To Be Assigned

TITLE: APPARATUS FOR COUPLING AN OPTOELECTRONIC DEVICE TO A FIBER OPTIC CABLE AND A MICROELECTRONIC DEVICE, A SYSTEM INCLUDING THE APPARATUS, AND A METHOD OF FORMING THE SAME

Confirmation No.: 2757

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**SUPPLEMENTAL INFORMATION DISCLOSURE  
STATEMENT PURSUANT TO 37 C.F.R. §§1.97-1.98**

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P.O. Box 1450  
Alexandria, Virginia 22313-1450

Dear Sir:

In accordance with the duty of disclosure under 37 C.F.R. §1.56 and pursuant to 37 C.F.R. §§1.97-1.98, Applicants hereby notify the U.S. Patent and Trademark Office of the documents listed on the attached Form PTO-1449. One copy of the cited documents are submitted herewith. Applicants respectfully submit that all pending claims are patentable over the foregoing references. The Examiner is requested to initial the enclosed Form PTO-1449 and return a copy thereof to the undersigned.

The submission of the listed documents is not intended as an admission that any such documents constitute prior art against the claims of the present application. Applicants reserve the right to dispute the listed documents as prior art during examination. Further, Applicants do not waive any right to take any action that would be appropriate to antedate or otherwise remove the documents as a competent reference against the claims of the present application. Furthermore, the submission of this Supplemental Information Disclosure Statement is not to be construed as a representation that a search has been made or that no other material information may exist.

No fee is due under 37 C.F.R. §1.17(p) for this Supplemental Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(b)(3), before the mailing date of a first Office action on the merits. Nevertheless, the Assistant Commissioner is hereby authorized to charge any fees which may be found to be required for this Supplemental Information Disclosure Statement to Deposit Account No. 19-2814, **for which purpose a duplicate copy of this sheet is attached.**

Respectfully submitted,

By:   
Cynthia L. Pillote  
Reg. No. 42,999

Enclosures: PTO-1449  
Copy of Cited References

**SNELL & WILMER, L.L.P.**  
One Arizona Center  
400 East Van Buren  
Phoenix, AZ 85004-2202  
(602) 382-6296  
(602) 382-6070 - Facsimile



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Substitute for form 1449A/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

*(use as many sheets as necessary)*

Sheet 1 of 2

**Complete if Known**

Application Number	10/056,757
Filing Date	January 23, 2002
First Named Inventor	Suresh Golwalkar
Art Unit	2874
Examiner Name	To Be Assigned
Attorney Docket Number	45706.0400

## U.S. PATENT DOCUMENTS

[illegible]

## FOREIGN PATENT DOCUMENTS

[illegible]

Examiner  
Signature

Date	
Considered	

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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<b>Substitute for form 1449B/PTO</b>  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(use as many sheets as necessary)</i>			<b>Complete if Known</b>		
			Application Number	10/056,757	
			Filing Date	January 23, 2002	
			First Named Inventor	Suresh Golwalkar	
			Group Art Unit	2874	
			Examiner Name	To Be Assigned	
			Attorney Docket Number	45706.0400	
Sheet	2	of	2		

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS				
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.		T <sup>2</sup>
		UCHIDA, Teiji and MIKAMI, Osamu; Optical Surface Mount Technology; Invited Paper; IEICE Trans. Electron., Vol. E30-C, 1 January 1997; Pgs. 81-87		

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Examiner Signature		Date Considered	
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